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## APPENDIX H

AA&E PHYSICAL SECURITY CHECKLIST FOR FORCES AFLOAT

This checklist is provided as a tool to help afloat commands assess their overall AA&E security posture. Not every requirement in this instruction is addressed; therefore, successful completion of this checklist should not be considered complete compliance with this instruction.

Yes answers indicate compliance. The requirement paragraph number is in parentheses after each question.

1. Does IDS include a continuously manned central control station where alarms annunciate and from which a response force can be dispatched? (0302e)
2. Does the central control station maintain a daily log of all alarms, including the cause, date and time received, location, and action taken? (0302g)
3. Are these logs kept for at least 90 days and reviewed to identify and correct reliability problems? (0302g)
4. Are alarm transmission lines electronically supervised or otherwise protected from undetected tampering? (0302h)
5. Are visible transmission lines inspected periodically? (0302h)
6. Are the IDS sensors tested upon installation and at least quarterly thereafter, and records of the tests maintained for 1 year with dates of the tests, names of persons performing the tests, results, and any action taken to correct deficiencies or malfunctions? (0302m)
7. Are there periodic unannounced openings of alarmed spaces to set off alarms so that reaction of the central control station alarm monitor and the response force can be evaluated? (0302m(2))
8. Are Category I AA&E spaces with IDS secured with high security hasps and locks? (0306a)
9. Is the AA&E Accountability Officer designated in writing? (0602f(2))
10. If AA&E items are kept as souvenirs, decorations, or display items, are they demilitarized and so certified in writing? (0607e)

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11. Is a thorough investigation conducted to determine the circumstances surrounding loss or theft of AA&E, and to fix responsibility where appropriate? (0800a)
12. Is a thorough investigation conducted when a loss attributed to an inventory or accountability discrepancy is noted, to ensure the loss is not due to theft or misappropriation? (0800a)
13. Is information relating to missing, lost, or stolen AA&E submitted to the appropriate investigative agency for inclusion in National Crime Information Center (NCIC) records and to the Navy Registry? (0800b(1))
14. Is information on theft or suspected theft of AA&E submitted to the local NCIS office? (0800b)
15. Do records reflect final disposition of the investigation, to include recoveries and disciplinary action taken (if appropriate), and are these records kept for at least 4 years? (0801c)
16. Are requests for waivers and exceptions thoroughly screened and submitted only when all other avenues for compliance have been exhausted? (1000a)
17. Are all requests for waivers, waiver extensions, and exceptions submitted in the required format, via chain of command, to the applicable approval authority? (1001, 1003, & 1004)
18. Do requests for waivers and exceptions identify compensatory security measures? (1001a(1) and (2))
19. Has a number been assigned to each waiver or exception request? (1002)
20. Are approved waivers and exceptions reviewed for continuing need as well as for compliance with this instruction? (1005a)
21. Is non-government AA&E stored in designated armories or magazines in a manner that will not interfere with any AA&E-related operation? (1100/0207)
22. Are records for privately owned AA&E maintained separately from government AA&E records? (1100/0207)
23. Is loss of privately owned AA&E reported to the Naval Criminal Investigative Service (NCIS)? (1100/0207)
24. Are installed shipboard nonnuclear weapons systems with prepositioned ordnance provided with positive measures to prevent unauthorized tampering, arming, launching, or firing? (1100d)

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25. Do all armories, magazines, and topside ordnance lockers meet Category II storage requirements? (1102)
26. Are Category I AA&E spaces without IDS randomly checked at least once every 4 hours while at sea? (1102)
27. Are Category I AA&E spaces randomly checked at least once each hour while in port? (1102)
28. Are bulkheads to armories and magazines constructed of at least 14 gauge steel (except for ships with aluminum superstructures)? (1103)
29. On ships with aluminum superstructures, are superstructure bulkheads at least 1/8-inch thick? (1103)
30. Are bulkheads to AA&E storage spaces continuously welded? (1103)
31. Are dissimilar metals in AA&E storage space bulkheads fastened with solid core rivets or mechanical fasteners of minimum 1/4-inch diameter? (1103)
32. Are doors to AA&E spaces constructed of or sheathed with at least 14-gauge steel? (1104b)
33. Do armory entry doors have non-removable observation ports? (1104c)
34. Are interior locking devices provided on all armory doors? (1104c)
35. Are interior locking devices placed in the locked position when the armory is manned? (1104c)
36. Is there normal and emergency lighting that will illuminate locking devices for examination during periods of reduced visibility? (1104d)
37. Are spaces in which AA&E is stored, including armories, designated and posted as restricted areas? (1104e and 0308)
38. Are main entrances, other than those opening onto weatherdecks, properly posted with signs reading "RESTRICTED AREA -- KEEP OUT" (or "SECURITY AREA -- KEEP OUT") and "AUTHORIZED PERSONNEL ONLY"? (1104e)
39. Are door hinges to AA&E storage spaces located on the interior of secure spaces or, if outside, provided with hinge security brackets? (1104f)
40. Within armories are small arms stored in required lockers, gun racks, or GSA containers? (1105a)

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41. In armory spaces which also serve as divisional work spaces, are small arms stored in approved arms lockers or GSA containers (no gun racks) and secured with high security locks? (1105a)
42. Are exterior locking devices on emergency escape scuttles and hatches to AA&E spaces removed whenever the spaces are occupied? (1106d)
43. Has the command ensured unauthorized access to AA&E storage areas cannot be gained by way of elevator trunks? (1107a)
44. If "J" doors are installed, are elevators to AA&E storage spaces secured? (1107c)
45. Where "J" doors are installed, are elevator controls located outside the secured space and protected in a manner to preclude unauthorized use? (1107c)
46. Are openings into AA&E spaces of 96 square inches or more protected by 3/8 inch steel bars spaced not more than 4 inches apart, or by six gauge expanded wire mesh? (1108)
47. Are topside ordnance lockers used for storage of high explosive or white phosphorous grenades, demolition material, or incendiary rockets protected with a high security hasp and padlock? (1109e)
48. Are other topside ordnance lockers protected with either a high security locking system or a medium security padlock with a hasp fabricated of minimum 1/4 inch 300 series stainless steel? (1109e)
49. Are keys to AA&E storage spaces kept on at least two separate welded or brazed rings which do not mix keys to arms spaces with keys to ammunition and explosives spaces? (1109g/0307f)
50. Are keys either in the physical possession of authorized personnel or in approved storage? (1109g/0307b)
51. Is master keying of keys to AA&E spaces prohibited? (1109g/0307d)
52. Are AA&E keys stored and protected in the same manner as required for the protection of at least Confidential information? (1109g/0307b)
53. Are persons authorized access to keys of AA&E spaces identified by name on a published list? (1109g/0307c)
54. Is this list kept out of public view? (1109g/0307c)

55. Are lock cylinders replaced immediately when associated keys are lost, misplaced, or stolen? (1109g/0307g)
56. Are spare locks, cylinders, and keys secured to prevent unauthorized access to them? (1109g/0307g)
57. Is the lock and key custodian designated in writing? (1109g/0307a)
58. Is a key control register maintained to ensure accountability of keys? (1109g/0307i)
59. Does the key control register contain all of the required information? (1109g/0307i)
60. Are key control registers retained in ship's files for at least 18 months after the last entry date? (1109g/0307i) (R)
61. Are locks and keys inventoried semianually? (1109g/0307h)
62. Are lock and key inventory records kept for at least 1 year? (1109g/0307h10g)
63. Are keys to racks and lockers for small arms storage in ship's Marine detachment berthing spaces under the control of the detachment commanding officer? (1110a)
64. At RFI AA&E spaces not meeting high security hardware and construction standards, do guards or watchstanders have equipment to summon assistance or to defend themselves? (1110c/0305)
65. Are the contents of RFI AA&E storage areas not meeting high security hardware and construction standards inventoried at each change of watch or guard shift? (1110c/0305)
66. Are RFI AA&E storage areas not meeting high security hardware and construction standards constantly manned? (1110c/0305)
67. Do guards or watchstanders of RFI AA&E storage areas not meeting high security hardware and construction standards have an unobstructed view of the entrance or container? (1110c/0305)
68. Are small arms (including Very pistols unless required at anchorage for drills or actual use) that are stored in ready service racks or boxes while at sea, returned to the ship's armory upon entering port? (1110d)
69. If the ship's ammunition and explosives allowance is stored with LFORM (Landing Force Operational Reserve Material), are the containers marked "ship's allowance?" (1111a)

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70. Are locks to rifle racks in embarked troop berthing areas keyed differently from one another? (1111b)
71. Are a minimum of three keys available for each rifle rack lock? (1111b)
72. To allow for damaged locks and lock rotation for security reasons, do spare lock cylinders equal 10 percent of the total number of locks available? (1111c)
73. If no secure space is available for the storage of any portion of embarked troops' AA&E, is it stored in metal containers in a designated restricted area under 24-hour armed guard? (1111f)
74. Are there monthly physical count inventories and quarterly inventories by serial number of all arms aboard? (1112/0601b(3)(a)1)
75. Are inventories of arms and Category I items conducted upon relief of the commanding officer or responsible department head? (1112a)
76. Is a training program conducted for personnel with AA&E duties, covering the particular procedures of AA&E accountability which relate to each person's work? (1112a/0602f(1))
77. Does the training program include, as applicable, the following:
  - a. Inventory and accountability procedures, including instructions for completing required documentation;
  - b. Reporting requirements;
  - c. Physical security requirements;
  - d. Identification of persons and billet titles with AA&E responsibilities;
  - e. AA&E shipment accountability procedures;
  - f. Explanation of disciplinary actions taken as a result of breaches of AA&E regulations, accountability procedures, or security;
  - g. A program emphasizing the individual's responsibility for the control and safeguarding of AA&E; and
  - h. Instruction on the use of deadly force? (1112a/0602f(1))

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78. Is the AA&E accountability officer charged with all of the required responsibilities? (1112a/0602f(2))
79. Are records of monthly and quarterly inventories kept for 2 years (those with unreconciled discrepancies for at least 4 years)? (1112a/0601b(3)(a)1)
80. Are Risk Category II, III, and IV ammunition and explosives inventories performed annually and the records kept for at least 2 years? (1112a/0602e)
81. Are AA&E inventories made available for review during scheduled assistance visits and command inspections? (1112a/0604)
82. Are requisitions for AA&E signed by the AA&E accountability officer, weapons officer, or armorer (as applicable) before processing off of the ship? (1112a/0605)
83. Is accountability documentation for all inventory adjustments, including applicable MLSR reports, retained for at least 2 years? (1112a/0606)
84. Does the ship maintain a current inventory of all AA&E on board? (1112b)
85. Is unescorted entry to AA&E storage spaces limited to those needed for essential operations? (1113a)
86. Is the access list to arms and Category I signed by the commanding officer? (1113a)
87. Are persons granted entry to AA&E spaces identified in the access log, with the required information? (1113b)
88. Do persons with escort duties in AA&E spaces meet the requirements for unescorted entry, including being on the appropriate access list? (1113c)
89. Is subcustody of small arms, weapons, and man-portable hand-launched missile systems recorded using a signature receipt with weapons serial numbers? (1114)
90. Is a response force of at least two duty personnel capable of responding armed within 5 minutes of the sounding of the alarm? (1115a)
91. Is the response force drilled within 1 week of assignment of new personnel? (1115b)
92. Are records which provide date, time, and results (including deficiencies) of all response force drills kept for 1 year? (1115b)